

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Gopalakrishnan, et al.

Docket: YO998-152 (8728-130)

Serial No.: 09/271,469

Filed: March 17, 1999

For: SYSTEM AND METHODS FOR ACOUSTIC AND LANGUAGE  
MODELING FOR AUTOMATIC SPEECH RECOGNITION WITH  
LARGE VOCABULARIES

Assistant Commissioner for Patents  
Washington, DC 20231

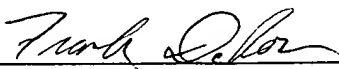
RESPONSE TO NOTICE TO FILE MISSING PARTS  
OF APPLICATION - FILING DATE GRANTED

Sir:

In response to the Notice to File Missing Parts of Application - Filing Date  
Granted, dated April 12, 1999, Applicant encloses herewith a properly executed original  
Declaration and Power of Attorney in compliance with 37 C.F.R. §1.63 along with a copy of  
the Notice to File Missing Parts of Application - Filing Date Granted.

Please charge the required fee of \$130.00 to cover the surcharge under 37  
C.F.R. §1.16(e) to Deposit Account No. 50-0510/IBM (Yorktown Heights). Also, in the event  
any additional extensions of time are required, please treat this paper as a petition to extend the  
time as required and charge Deposit Account No. 50-0510/IBM. **TWO (2) COPIES OF  
THIS SHEET ARE ENCLOSED.**

Respectfully submitted,


  
Frank V. DeRosa  
Registration No. 43,584  
Attorney for Applicant(s)

F. CHAU & ASSOCIATES, LLP  
1900 Hempstead Turnpike, Suite 501  
East Meadow, New York 11554  
(516) 357-0091  
FVD:pg

CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)

I hereby certify that this correspondence is being deposited with the United States Postal Service  
as first class mail, postpaid in an envelope, addressed to the: Assistant Commissioner for Patents, Washington,  
D.C. 20231 on May 11, 1999.

Dated: 5/11/99

  
Frank V. DeRosa



RECEIPT

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Gopalakrishnan, et al.

Docket No.: Y0998-152 (8728-130)

Serial No.: 09/271,469

Group Art Unit: 2741

Filed: March 17, 1999

For: SYSTEM AND METHODS FOR ACOUSTIC AND LANGUAGE  
MODELING FOR AUTOMATIC SPEECH RECOGNITION WITH  
LARGE VOCABULARIES

Assistant Commissioner for Patents  
Washington, D.C. 20231

RECEIVED

JUN 01 1999

Group 2700

REQUEST FOR CORRECTED FILING RECEIPT

Sir:

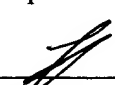
Please issue a corrected Filing Receipt for the above-identified application  
with the following correction:

please correct the spelling of applicant's name by deleting MONKOWSHI  
and inserting MONKOWSKI.

The original Filing Receipt is attached herewith for correction with the  
change indicated in red.

Respectfully submitted,

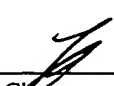
F. CHAU & ASSOCIATES, LLP  
1900 Hempstead Turnpike, Suite 501  
East Meadow, NY 11554  
(516) 357-0091

  
Frank Chau  
Reg. No. 34,136  
Attorney for Applicant

CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)

I hereby certify that this correspondence is being deposited with the United States Postal Service  
as first class mail, postpaid in an envelope, addressed to the: Assistant Commissioner for Patents,  
Washington, D.C. 20231 on May 11, 1999.

Dated: May 11, 1999

  
Frank Chau

FILING RECEIPT



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
09/271,469	03/17/99	2741	\$1,324.00	YO998-152	7	47	4

PAUL J. OTTERSTEDT  
INTELLECTUAL PROPERTY LAW DEPT.  
IBM CORPORATION  
P.O. BOX 218  
YORKTOWN HEIGHTS NY 10598

RECEIVED

JUN 01 1999

Group 2700

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Application Processing Division's Customer Correction Branch within 10 days of receipt. Please provide a copy of the Filing Receipt with the changes noted thereon.

**Applicant(s)**

PONANI GOPALAKRISHNAN, YORKTOWN HEIGHTS, NY; DIMITRI KANEVSKY, OSSINING, NY; MICHAEL DANIEL ~~MONKOWSKI~~, *Monkowski* NEW WINDSOR, NY; JAN SEDIVY, PRAHA, CZECH REPUBLIC.

IF REQUIRED, FOREIGN FILING LICENSE GRANTED 04/09/99

**TITLE**

SYSTEM AND METHODS FOR ACOUSTIC AND LANGUAGE MODELING FOR AUTOMATIC SPEECH RECOGNITION WITH LARGE VOCABULARIES

PRELIMINARY CLASS: 704

DEPARTMENT OF COMMERCE  
PATENT & TRADEMARK OFFICE

APR 19 10:05 AM '99

YORKTOWN  
IBM

DATA ENTRY BY: DADE, JOAN

TEAM: 03 DATE: 04/12/99

MAY 14 1999



## Patent and Trademark Office

Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILED RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
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09/271,469

03/17/99

GOPALAKRISHNAN

P

Y0998-152

0232/0412

PAUL J. OTTERSTEDT  
INTELLECTUAL PROPERTY LAW DEPT.  
IBM CORPORATION  
P.O. BOX 218  
YORKTOWN HEIGHTS NY 10598

NOT ASSIGNED

2741

DATE MAILED:

04/12/99

**NOTICE TO FILE MISSING PARTS OF APPLICATION**  
**Filing Date Granted**

Due 6/12/99

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given TWO MONTHS FROM THE DATE OF THIS NOTICE within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the SURCHARGE set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☒ \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a  
☐ small entity (statement filed) ☒ non-small entity is \$ 130.

- ☐ 1. The statutory basic filing fee is:  
☐ missing.  
☐ insufficient.

Applicant must submit \$ \_\_\_\_\_ to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

- ☐ 2. The following additional claims fees are due:

\$ \_\_\_\_\_ for \_\_\_\_\_ total claims over 20.

\$ \_\_\_\_\_ for \_\_\_\_\_ independent claims over 3.

\$ \_\_\_\_\_ for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

- ☒ 3. The oath or declaration:

☒ is missing or unsigned.

☐ does not cover the newly submitted items.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

- ☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

- ☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

- ☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

- ☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

- ☐ 8. The application was filed in a language other than English.

Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.17(k), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).

- ☐ 9. OTHER:

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

**A copy of this notice MUST be returned with the reply.**

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

05/17/1999 VNM11  
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130.00 CH  
01 FC:105